

BARNES THOMAS O
Form 4
December 03, 2018

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

OMB
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(Print or Type Responses)

1. Name and Address of Reporting Person *
BARNES THOMAS O

(Last) (First) (Middle)

BARNES GROUP INC., 123 MAIN
STREET

(Street)

BRISTOL, CT 06010

(City) (State) (Zip)

2. Issuer Name **and** Ticker or Trading
Symbol
BARNES GROUP INC [B]

3. Date of Earliest Transaction
(Month/Day/Year)

11/28/2018

4. If Amendment, Date Original
Filed(Month/Day/Year)

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

☒ Director ☐ 10% Owner
☐ Officer (give title below) ☐ Other (specify
below)

6. Individual or Joint/Group Filing(Check
Applicable Line)
☒ Form filed by One Reporting Person
☐ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
Common Stock	11/28/2018		G	V 3,000	(A) or (D) \$ 0	D	
Common Stock	11/29/2018		S	158	D \$ 58.8461	I	Trust #42-01-100-8546559 (1E)
Common Stock	11/29/2018		S	15	D \$ 58.8461	I	Trust #42-01-100-8550714 (2E)
Common Stock	11/29/2018		S	12	D \$ 58.8461	I	Trust #42-01-100-8550720 (3E)

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Common Stock	11/29/2018		S	79	D	\$ 58.8461	481,629 ⁽²⁾	I	Trust #42-01-100-8550719 (4E)
Common Stock	11/29/2018		S	5	D	\$ 58.8461	83,983 ⁽²⁾	I	Trust #42-01-100-8550713 (6E/7W)
Common Stock	11/30/2018		S	292	D	\$ 59.5144	412,581 ⁽²⁾	I	Trust #42-01-100-8546559 (1E)
Common Stock	11/30/2018		S	30	D	\$ 59.5144	75,763 ⁽²⁾	I	Trust #42-01-100-8550714 (2E)
Common Stock	11/30/2018		S	23	D	\$ 59.5144	160,804 ⁽²⁾	I	Trust #42-01-100-8550720 (3E)
Common Stock	11/30/2018		S	146	D	\$ 59.5144	481,483 ⁽²⁾	I	Trust #42-01-100-8550719 (4E)
Common Stock	11/30/2018		S	10	D	\$ 59.5144	83,973 ⁽²⁾	I	Trust #42-01-100-8550713 (6E/7W)
Common Stock							34,879.38	I	By 401(k) Plan
Common Stock							4,348.29 ⁽²⁾	I	By my wife
Common Stock							39,116 ⁽²⁾	I	Trust #42-01-100-8546568
Common Stock							410,468 ⁽²⁾	I	Trust #42-01-100-8546558 (5E/5W)
Common Stock							77,162 ⁽²⁾	I	Trust #42-01-102-2549053

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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SEC 1474
(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying	8. Price of Derivative Security	9. Number of Derivative Securities
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(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Securities (Instr. 3 and 4)	(Instr. 5)	Bene			
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
BARNES THOMAS O BARNES GROUP INC. 123 MAIN STREET BRISTOL, CT 06010	X			

Signatures

William K. Piotrowski, pursuant to a Power of Attorney

12/03/2018

**Signature of Reporting Person

Date _____

Explanation of Responses:

- * If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
- ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Includes a balance of 442 Restricted Stock Units granted 2/8/2018, that are subject to forfeiture if certain events occur.
- (2) Reporting Person hereby disclaims beneficial ownership of shares held by his Wife, and the Trusts except to the extent of his pecuniary interest.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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